

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. H. WALLMAN

Serial Number : 10/627,921

Filed : July 28, 2003

For : METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR
: SMALLER INVESTORS OR OTHERS TO CREATE AND
: MANAGE A PORTFOLIO OF SECURITIES OR OTHER
: ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS

Art Unit : 3694

Examiner : Ms. Susanna M. Meinecke Diaz

Mail Stop: **AF**
Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313

STATEMENT OF SUBSTANCE OF INTERVIEW

Sir:

Applicant thanks Examiner Diaz for the courtesies extended at the telephonic interviews with Applicant's representatives on September 10, 2008 and September 15, 2008, and provide this Statement of Substance of Interview in compliance with M.P.E.P. 713.04:

- (A) Exhibits. No exhibit / demonstration was shown / conducted.
- (B) Claims. The pending claims were discussed.
- (C) Prior art. There was a brief discussion of the Lupien prior art reference.
- (D) Amendments. Potential amendments to the claims were discussed and submitted by e-mail.
- (E) Principal arguments by Applicant. The claims are in condition for allowance, for the reasons set forth in the response to final office action filed on June 25, 2008.

- (F) Other matters. Not applicable.
- (G) Agreement. Agreement on allowance of claims 1 and 2 only was reached.

Although not believed necessary, the Office is hereby authorized to charge any additional fees required under 37 C.F.R. § 1.16 or § 1.17 or credit any overpayments to Deposit Account No. 11-0600.

The Examiner is invited to contact the undersigned at 202-220-4200 to discuss any matter regarding this application.

Respectfully submitted,

Date: September 29, 2008

/ Brian S. Mudge /
Brian S. Mudge
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